

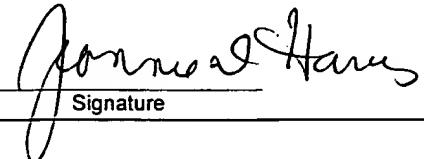


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CERTIFICATE OF MAILING  
37 C.F.R. 1.8

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5/14/02  
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Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David J. Lineman  
and Scott M. Wierschem

Serial No.: 09/966,006

Filed: 9/28/01

For: METHOD AND APPARATUS FOR  
ACTIVELY MANAGING USERS AND  
COMPUTERS IN A NETWORK

Group Art Unit: 2131

Examiner: Unknown

Atty. Dkt. No.: 12225.0035.NPUS00

Commissioner for Patents  
Washington, D.C. 20231

Sir:

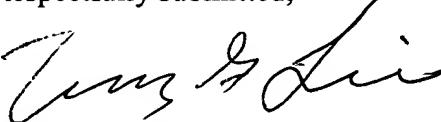
In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R §§ 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b), or that such information is prior art.

The present Information Disclosure Statement is being filed prior to the receipt of a first Official Action reflecting an examination on the merits, and hence is believed to be timely filed in accordance with 37 C.F.R § 1.97(b). No fees are believed to be due in connection with the filing of this Information Disclosure Statement. Should any fees be required for any reason relating to the enclosed materials, the Commissioner is authorized to deduct said fees from Deposit Account No. 01-2508/12225.0035.NPUS00.

Applicants respectfully request that the listed documents be considered and made of record in the present case, and that the Examiner initial the appropriate spaces on the accompanying form to evidence the same.

Respectfully submitted,

  
Terril G. Lewis, Esq.      May 14, 2002  
Reg. No. 46,065  
Attorney for Applicant

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Form PTO-1449 (modified)

MAY 20 2002

SC106

## List of Patents and Publications for Applicant's

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Atty. Docket No. 12225.0035.NPUS00 Serial No. 09/966,006

Applicant  
Lineman et al.

Filing Date: September 28, 2001 Group: 2131

U.S. Patent Documents

See Page N/A

Foreign Patent Documents

See Page N/A

Other Art

See Page 1

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	Wood, Charles Cresson, <u>Information Security Policies Made Easy</u> , 8 <sup>th</sup> edition. PentaSafe Security Technologies Inc., May 2001.
	C2	Brochure for e-Minder by CONQWEST, 1-page, undated.
	C3	"e-Minder – E-Policy Management Solution," 14-pages, dated February 7, 2002, found at <a href="http://www.conqwest.com/eminder.htm">http://www.conqwest.com/eminder.htm</a> .
	C4	"Enterprise Application Integration: Key Component in Enterprise Management Market," Press Release by Intellitactics Inc., date February 7, 2002, found at <a href="http://www.itactics.com/html/news007.html">http://www.itactics.com/html/news007.html</a>
	C5	Brochure for LivingPolicy by Intellitactics Inc., 2-pages, undated.
	C6	"LivingPolicy," 12-pages, date February 7, 2002, found at <a href="http://www.itactics.com/html/lpm.html">http://www.itactics.com/html/lpm.html</a>
	C7	Brochure for Network Security Manager by Intellitactics, 4-pages, undated.
	C8	"Network Security Manager," 7-pages, date February 7, 2002, found at <a href="http://www.itactics.com/html/nsm.html">http://www.itactics.com/html/nsm.html</a>
	C9	Pink, David (1999, February 10). Safeguarding Corporate Secrets. <u>The Record</u> , C1.
	C10	Romberg, Denise (1999, March 12). Tying security tools together. <u>Computing Canada</u> , 23-24.
	C11	Neshevich, Carol (1999, March 26). Intellitactics tackles security. <u>Network World Canada</u> , 9, 12-13.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)